



IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Seth I. Merrin *et al.*

APPLICATION NO.: 09/834,171

FILING DATE: April 12, 2001

TITLE: ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

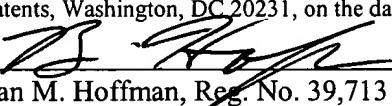
EXAMINER: UNASSIGNED

GROUP ART UNIT: 2161

ATTY. DKT. NO.: 22172-05507

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: June 20, 2001 By: 
Brian M. Hoffman, Reg. No. 39,713

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**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

SIR:

Responsive to Notice to File Missing Parts dated June 8, 2001 received in the above-identified patent application,

Enclosed are:

- a copy of the Notice to File Missing Parts;
- an original, signed Declaration;
- an original, signed Power of Attorney or Authorization of Agent;
- an Application Data Sheet;

- payment in the amount of \$653 for the
 - application filing fee;
 - fee for additional claims; and
 - missing parts surcharge.
- Other

Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,
SETH I. MERRIN *et al.*

Dated: June 2001

By: _____
Brian M. Hoffman, Reg. No. 39,713
Attorney for Applicants
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2484
Fax: (415) 281-1350



PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

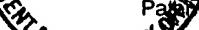
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTC
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

TRANSMITTAL FORM

*(to be used for all correspondence during pendency of
filed application)*

 TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>		Application Number	09/834,171
		Filing Date	April 12, 2001
		First Named Inventor	Seth I. Merrin et al.
		Group Art Unit Number	2161
		Examiner Name	Unassigned
Total Number of Pages in This Submission	11	Attorney Docket Number	22172-05507

ENCLOSURES *(check all that apply)*

REMARKS:

SIGNATURE OF ATTORNEY OR AGENT

Signature:


B. Hoffman

Dated: June 20, 2001

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Signature:

Service pursuant to 37 CFR 1.10.



B. H. Haff

Dated: June 26, 2001

Typed or Printed Name: **Brian M. Hoffm**

Express Mail Mailing Number (optional):



0002/PTO(modified) Rev. 10/2000	U.S. Department of Commerce Patent and Trademark Office	Complete if Known	
		Application Number	09/834,171
		Filing Date	April 12, 2001
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TOTAL AMOUNT OF PAYMENT Subtotal (1) + Subtotal (2) + Subtotal (3) =		Attorney Docket Number	22172-05507
(\$ 653.00)			

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																											
<p>1. The Commissioner is hereby authorized to:</p> <p><input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.</p> <p><input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. [†]</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p>3. 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SUBMITTED BY		Complete (if applicable)		
Typed or Printed Name	Brian M. H. ffman	Reg. Number	39,713	
Signature		Date	June	20, 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/834,171	04/12/2001	Seth I. Merrin	22172-05507

CONFIRMATION NO. 2698

00758
 FENWICK & WEST LLP
 TWO PALO ALTO SQUARE
 PALO ALTO, CA 94306

FORMALITIES LETTER



OC000000006162049

Date Mailed: 06/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$466.
 - \$306 for 17 total claims over 20.
 - \$160 for 2 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1306.**

*A copy of this notice **MUST** be returned with the reply.*

Sadly
 Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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